



3624#S
BT
53-3

CF/033

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew C. Gilbert et al.
Application No. : 09/851,848 /
Confirmation No. : 3671
Filed : May 9, 2001
For : SYSTEMS AND METHODS FOR
CONTROLLING TRADERS FROM
MANIPULATING ELECTRONIC TRADING
MARKETS
Group Art Unit : 3624
Examiner : Hanim Kazimi..

New York, New York 10020
March 20, 2003

Hon. Commissioner for Patents
P. O. Box 2327
Arlington, Virginia 22202

TRANSMITTAL LETTER FOR SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

RECEIVED
MAR 28 2003
GROUP 3600

Sir:

Transmitted herewith is a Supplemental
Information Disclosure Statement in the above-identified
application. This Statement is submitted:

- ☐ within three months of the application
filing date;
- ☒ more than three months from the
application filing date but before the
mailing date of the first Office Action on
the merits.

In accordance with 37 C.F.R. § 1.97, submission
of this Statement requires no fee. However, if for any
reason a fee is due, the Director is hereby authorized to
charge payment of any fees required in connection with

this Supplemental Information Disclosure Statement to
Deposit Account No. 06-1075. A duplicate copy of this
letter is transmitted herewith.

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak
Registration No. 50,492
Agent for Applicants

FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
(212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to:

COMMISSIONER FOR
PATENTS P.O. BOX 2327
ARLINGTON, VA 22202

on March 20, 2003

Clare J. Saint-Léon
Signature of Person Signing



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew C. Gilbert et al.
 Application No. : 09/851,848
 Confirmation No. : 3671
 Filed : May 9, 2001
 For : SYSTEMS AND METHODS FOR
 CONTROLLING TRADERS FROM
 MANIPULATING ELECTRONIC TRADING
 MARKETS
 Group Art Unit : 3624
 Examiner : Hanim Kazimi

New York, New York 10020
 March 20, 2003

Hon. Commissioner for Patents
 P. O. Box 2327
 Arlington, Virginia 22202

RECEIVED
 MAR 28 2003
 GROUP 3600

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97,
 applicants hereby make the following documents of record
 in the above-identified patent application:

U.S. Patent Document

Alaia et al.	6,199,050 B1	03/06/01
--------------	--------------	----------

U.S. Patent Application Publications

Yeo	US 2001/0037279 A1	11/01/01
Gilbert	US 2002/0073014 A1	06/13/02

Foreign Document

Takahashi et al.	JP 358161068 A	09/24/83
------------------	----------------	----------

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

The information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement. In particular, these references were cited in the February 25, 2003 International Search Report on applicants' corresponding Patent Cooperation Treaty application PCT/US02/14825. A copy of that Search Report is enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to
this patent application is respectfully requested.

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak
Registration No. 50,492
Agent for Applicants

FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
(212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to:

COMMISSIONER FOR

PATENTS P.O. BOX 2327

ARLINGTON, VA 22202 on March 20, 2003

Clare J. Sainblvan Goodman

[Signature]
Signature of Person Signing

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/033SERIAL NO.
09/851,848

MAR 25 2003

INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANT
Andrew C. Gilbert et al.CONFIRMATION
NO. 3671FILING DATE
May 9, 2001GROUP ART
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,199,050 B1	03/06/01	Alaia et al.	705	37	

U.S. PATENT APPLICATION PUBLICATIONS

	US 2001/0037279 A1	11/01/01	Yeo	705	37	03/02/01
	US 2002/0073014 A1	06/13/02	Gilbert	705	37	05/15/01

RECEIVED
MAR 28 2003
GROUP 3600

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	JP 358161068	09/24/83	Japan	G06F	15/21	X*	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

*A translation of the Abstract is enclosed.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.